



# **Kentucky Emergency Operations Plan Handbook**

**A GUIDE FOR  
EMERGENCY PLANNERS  
2008-09**

November 2008

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

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## Introduction

The Kentucky Emergency Operations Plan Handbook provides guidance for the development of Emergency Operations Plans (EOP) at the State, Local and County levels. The guide is divided into five main parts.

The first part provides a suggested list of Independent and classroom classes that should be taken by all jurisdiction planners and anyone else directly involved in the development of the jurisdiction's plans. This list is a recommendation only and can be shortened or lengthened according to the jurisdiction's current capabilities and training levels.

The second part is an overview of the primary principals of Planning. The principals establish that planning is an orderly process that supports overall preparedness by allowing the jurisdiction to walk through the potential hazards and their effects. They also focus on support by senior officials within the jurisdiction as well as making sure that all potential resource owners, whether people or equipment, must be included in the planning process.

The third part presents the nine basic steps to planning and explains how each step helps the jurisdiction build its plan in such a way as to fully discuss the hazards, the methods to respond to the given hazards and a full evaluation by the jurisdiction of where it can not accomplish a given mission and will need to request support.

The fourth part provides explanations and examples of the National Response Framework based on Kentucky Emergency Operations Plan Template. It gives an overview and suggested content for the Basic Plan, Emergency Support Functions, Incident Specific Plans and Support Plans. This information is Kentucky specific and is the core part of the document.

The fifth and final part is made up of four annexes that describe; the basic concept of operations when an Emergency Operations Center is based around ESFs, an example of who should be part of a jurisdiction's planning group, an example of a County Judge/Executive or Mayor's plan approval letter and a sample plan change memorandum that would be sent out to plan holders when annual changes are posted to the Plan.

This guide does not restrict development of locally unique plan content that better reflects the Local and or County Emergency Management Programs. The development

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of this Guide is a direct reflection of the development and publishing of the Federal Comprehensive Preparedness Guide –101, which is an update to the 1996 State and Local Government Guide for All-Hazards Emergency Management Planning and is being issued in conjunction with the implementation of the Kentucky Emergency Operations Plan Generic Template.

# TRAINING FOR PLANNERS

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## Training for Planners

### Recommended Training

For Planners and those involved in emergency planning the following independent study classes and advanced classroom training are recommended to give each planner and planning process participant a common reference point for developing EOP's in support of State, Local and County planning efforts. These classes are a recommendation only and may be expanded or reduced by Local or County Emergency Managers and Planners in order to better fit time and training requirements. Classes marked with a star are closely related to the planning process and should be taken first.

Minimum training requirements should include;

### **National Incident Management System/Incident Command System (NIMS/ICS):**

- \*IS-100 Introduction to Incident Command System
- \*IS-200 ICS for Single Resources and Initial Action Plans
- \*IS-700 National Incident Management System (Introduction)
- \*IS-701 Multi Agency Coordination Systems
- IS-702 NIMS Public Information Systems
- IS-703 NIMS Resource Management
- IS-706 NIMS Intrastate Mutual Aid, (Introduction)
- \*IS-800.B National Response Plan/Framework (Introduction)

### **Independent Study for Basic Understanding**

- \*IS-1 Emergency Manager (An Orientation to the Position)
- \*IS-292 Disaster Basics

### **Independent Study for Professional Development Series Program Part I**

- \*IS-230 Principles of Emergency Management
- \*IS-235 Emergency Planning
- \*IS-242 Effective Communication
- IS-275 The EOC's Role in Community Preparedness, Response and Recovery Operations

### **Independent Study – Professional Development Series Program Part II**

- IS-241 Decision Making and Problem Solving
  - IS-240 Leadership and Influence
  - IS-244 Developing and Managing Volunteers
  - IS-139 Exercise Design
- (The Professional Development Series Program Certificate is available upon completion of IS-139)

### **Advanced Classroom Training**

- ICS-300 Intermediate Incident Command System
- ICS-400 Advanced Incident Command system

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## Planning Resource Guide

### Kentucky Division of Emergency Management

KyEM Planning Website  
<http://kyem.ky.gov/planning/>

Harry James  
Planning Branch Manager  
(502) 607-1760  
[harry.lee.james@us.army.mil](mailto:harry.lee.james@us.army.mil)

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(502) 607-5759  
[barbara.yates@us.army.mil](mailto:barbara.yates@us.army.mil)

Robert Tindall  
County Planning  
(502) 607-5756  
[robert.a.tindall@us.army.mil](mailto:robert.a.tindall@us.army.mil)

### Publications

National Framework Resource Center  
<http://www.fema.gov/emergency/nrf/>  
<http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf>

Emergency Support Functions: Introduction  
<http://www.fema.gov/pdf/emergency/nrf/nrf-esf-intro.pdf>

Support Plans: Introduction  
<http://www.fema.gov/pdf/emergency/nrf/nrf-support-intro.pdf>  
National Preparedness Guidelines  
[http://www.dhs.gov/xlibrary/assets/National\\_Preparedness\\_Guidelines.pdf](http://www.dhs.gov/xlibrary/assets/National_Preparedness_Guidelines.pdf)

Target Capabilities List  
<http://www.fema.gov/pdf/government/training/tcl.pdf>

Resource Typing List  
<http://www.fema.gov/emergency/nims/rm/rt.shtm>

### Software

HAZUS (Free)  
<http://www.fema.gov/plan/prevent/hazus/>

# **PLANNING**

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## Planning

### Basic Principals of the Planning Process

The challenge of developing an all-hazards plan for protecting lives, property, and the environment is made easier if the emergency planners preparing it apply the following principles to the planning process:

- **Planning uses an orderly, analytical, problem-solving process.** This process is intended to bring together all potential responders in one group and focus them to discuss how to prepare for, respond to and recover from the most likely hazards in the community. While using a prescribed planning process cannot guarantee success, inadequate plans and planning are proven contributors to failure.
- **Planning can be used to guide preparedness activities.** Planning will establish, based on the given hazard, specific tasks that need to be accomplished, objectives that need to be reached and general goals that must be met. These tasks, objectives and goals are the starting point for exercising the plan and establishing what capabilities are needed, what capabilities can be developed and what capabilities are going to require state or federal support. Identifying what your community can not do is as important as identifying what it can do
- **Planning helps answer some of the “what ifs”.** Planning provides the opportunity for a community to take time and walk through potential impacts of various hazards based on reasonable “what if” scenarios. Care must be taken that this does not turn into a discussion of the absurd – the real hazards are usually bad enough – but it is good to take some of the hazards and walk through a scenario or two that represent what might happen. This type of planning lets leaders look at the potential costs and impacts of very complex and hazardous situations.
- **Emergency Planning should address all hazards.** By addressing all hazards through the planning process a community can identify those tasks, objectives and goals that are common to all hazards and don’t need to be constantly repeated throughout the plan. There are many reasons to

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evacuate - flood, tornado, ice storm, but evacuation in each case relies on a common set of rules – no need to have a separate plan for each hazard with repetitious evacuation plans. All-hazards planning will ensure that when a community plans for emergency functions, common tasks are identified early on along with who is responsible for accomplishing those tasks.

- **Emergency planning builds upon experience.** Part of the planning process is to review After Action Reviews from previous incidents and reviewing plans from similar communities. By reviewing existing emergency or contingency plans, planners can:
  - Identify applicable authorities and statutes,
  - Gain insight into community risk perceptions,
  - Identify organizational arrangements used in the past,
  - Identify mutual aid agreements with other jurisdictions, and
  - Learn how some planning issues were resolved in the past.
- **Planning helps to define agency and individual involvement in the potential incident.** The planning process must be used to clearly identify who is responsible for what. Every agency in the planning process has a primary role and a supporting role – these must be identified and agreed to during this process so the overall plan clearly reflects the capabilities of the community. Any roles un-assigned must be matched to either a mutual aid agreement or identified as a responsibility of the state or federal partners.
- **Planning must involve all partners.** Just as a coordinated emergency response depends on teamwork, good emergency planning requires a team effort. The most realistic and complete plans are prepared by a team that includes representatives of the departments, agencies, private sector, and nongovernmental organizations (NGOs) that will have to execute the plan. When the plan is developed by considering and incorporating the views of the individuals and organizations assigned tasks in it, the more likely they are to accept and use it.
- **Planning includes senior officials throughout the process.** Potential planning team members have many day to-day concerns. For a team to come together, potential members must be convinced that emergency planning has

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a higher priority. Local, county and state decision makers must be involved to maintain perspective in the planning process. Direct involvement of decision makers helps keep the planning process within a reasonable time frame, reminds the planning members of real world fiscal and administrative constraints and makes sure that the final results are well within applicable laws and regulations.

In the end planning is fundamentally a risk management tool used to identify potential hazards, assess the ability of the community to manage the hazards and provides a formal method for identifying the gap between required capability and actual capability.

## **Planning Process**

The planning process is used to; identify the right people to involve in developing the plan, research and analyze the community's hazards and determine the best way to respond to those hazards, make sure that there is the proper political as well as programmatic understanding of the plan and to integrate the plan into a unified cycle of planning, exercising, revising and maintenance. Regardless of size or complexity, any community can use these nine basic steps and produce a useable plan for preparing for, responding to and recovering from natural and man-made disasters.

The nine basic planning steps are:

1. Form a planning team;
2. Conduct research;
3. Analyze the information;
4. Determine goals and objectives;
5. Develop and analyze courses of action, identify resources;
6. Write the plan;
7. Approve and implement the plan;
8. Exercise the plan and evaluate its effectiveness; and
9. Review, revise, and maintain the plan.

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## **Form a Planning Team**

When forming a Planning Team it is important to select personnel who can adequately represent their respective agencies as potential decision makers and are empowered to speak for senior members of the parent organization. The best planning team is the same team that is going to implement the plan in the Emergency Operations Center on the day of the incident.

In most Counties the planning team will be made up of representatives taken from the Disaster and Emergency Services organization - as required by **KRS 39B.050 Local disaster and emergency services organization -- Membership – Responsibility** - that exists to support emergency response activities in the County. At a minimum the following positions and agencies should be represented in the general planning team:

- Representatives of County and Local Government
- Association Representatives from Fire, Police, EMS and other first responder support agencies
- The Local Emergency Management Director – who should also be the Group Leader
- A representative of local emergency volunteer organizations
- A representative of the private sector businesses within the County

As a management tool the primary members of the Planning Team can be organized along the same lines of the Emergency Support Functions within the plan, with the primary ESF coordinating and support agencies represented on the Team – see example below:

### County Planning Team - Example

- ESF # 1 – Transportation – School District Transportation Supervisor
- ESF # 4 – Fire Response – Fire Chief's Representative
- ESF # 5 – Emergency Management – Local EM
- ESF # 8 – Public Health and Medical Services – Local/Regional Health Department Representative
- ESF # 13 – Public Safety (Law Enforcement) – Local Police Chief's Representative

The Planning Team will implement the remaining steps of the Planning Process.

An example of a small community planning team and its basic process is described on



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the next page.

## **Small Community Planning Team**

A small community (population of 1,500) took the following approach to forming its planning team: (based on an example from FEMA Comprehensive Preparedness Guide-101)

### **Who was involved in the core planning team?**

Any department or office that was likely to be involved in most if not all responses. Involvement was limited to the 5–7 of the most central people – Fire Chief, Police Chief, Emergency Manager, Emergency Planner, Head of Public Works...

### **What did they do?**

- Provided information to create a complete plan draft
- Answered the questions about the community for the draft plan.
- Provided additional commentary on roles and responsibilities.
- Gave information about the communities' standard operations.
- Clarified command structures.
- Provided information about resources, capabilities, threats, and risks.
- Gave writers information for integration.

### **Who participated in the larger planning team?**

- Responders and stakeholders who might get involved in a major incident. A group of 10–20 was used; it could include emergency managers from surrounding communities, business leaders, secondary responders, representatives from industry, community leaders, and community contractors.

### **What did they do?**

- Reviewed the full plan.
- Provided insights and recommendations for improvement.
- Integrated additional perspectives.
- Agreed to provide additional support

Regardless of the method used or organizational structure used, the process of forming and working the Planning Group is crucial in creating a usable plan for any size Community. To see a list of Planning Group Participants and their potential contributions to the planning process see Annex A.

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## **Planning Meetings**

Planners must persuade these leaders and/or their designees to take an active interest in emergency planning. Although scheduling meetings with so many participants may prove difficult, it is critical that everyone participates in the planning process and takes ownership in the plan. This can be accomplished by involving leaders and managers from the beginning. Their expertise and knowledge of their organizations' resources are crucial to developing a plan that considers the entire jurisdiction's needs and the resources that are available in an emergency.

A community benefits from the active participation of all stakeholders. Some tips for gathering the team together includes the following:

### **Plan ahead.**

The planning team should receive plenty of notice about where and when the planning meeting will be held. If time permits, the team members can be surveyed to identify the time(s) and place(s) that will work for the group.

### **Provide information about team expectations.**

Planners should explain why participating on the planning team is important to the participants' agencies and to the community itself, showing the participants how their contributions will lead to a more effective emergency response. In addition, budget and other project management concerns should be outlined early in the process.

### **Ask the Judge Executive to sign the meeting announcement.**

A directive from the executive office will carry the authority of the Judge and send a clear signal that the participants are expected to attend and that emergency planning is important to the community.

### **Allow flexibility in scheduling after the first meeting.**

Not all team members will need to attend all meetings. In some cases, task forces or subcommittees can complete the work. When the planning team chooses to use this option, it should provide project guidance (e.g., timeframes and milestones) but let the subcommittee members determine when it is most convenient to meet.

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## **Consider using external facilitators.**

Third-party facilitators can perform a vital function by keeping the process focused and mediating disagreements.

## **Summary**

The key to planning in a group setting is to allow open and frank discussion during the process. Individual group members must be encouraged to express objections or doubts. If a planner disagrees with a proposed solution, that planner must also identify what needs to be fixed.

## **Conduct Research**

Gathering information about the jurisdiction's planning framework, potential hazards, resource base, and geographic characteristics that could affect emergency operations is the first step of research. Planners need two types of information: **facts** and **assumptions**.

- **Facts** are verifiable pieces of information, such as laws, regulations, floodplain maps, and resource inventories.
- **Assumptions** consist of information accepted by planners as being true in the absence of facts. Assumptions are used as facts only if they are considered valid (likely to be true) and are necessary for solving the problem. Emergency managers change assumptions to facts when they implement a plan. For example, when one plans for dealing with a flood, the location of the water overflow, size of the flood hazard area, and speed of the rise in water may be assumed. When the plan is put into effect, these assumptions are replaced by the facts of the situation, and the plan is modified accordingly.

**Use assumptions sparingly – put great effort into doing research and acquiring facts.**

A variety of information sources are available to planners. The Universal Task List (UTL), Target Capabilities List (TCL), Resource Typing List, National Planning Scenarios (NPS), and other recently published documents can help define response issues, roles, and tasks.

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The County Hazard Mitigation Plan is available to each County in Kentucky and lists the most likely hazards to threaten the County and its communities. Also available are hazard maps in compilations of hazard information made by FEMA and State emergency management agencies, the U.S. Geological Survey (USGS) and State geological surveys, and the National Weather Service (NWS) and its local offices. For more localized hazards, maps from the Federal Insurance Administration (FIA), maps of hazardous materials (HAZMAT TAB Q-7 PLANS) sites prepared by Local Emergency Planning Committees (LEPCs) may be useful.

The planning team should also make extensive use of the information about the jurisdiction that both government and nongovernment organizations develop for their own purposes. For example, the local planning and zoning commission or department may have extensive demographic, land use, building stock, and similar data. The tax assessor and/or local realtors' association can often provide information on the numbers, types, and values of buildings. Building inspection offices maintain data on the structural integrity of buildings, codes in effect at time of construction, and the hazard effects that a code addresses. Local public works (or civil engineering) departments and utilities are sources for information on potential damage to and restoration time for the critical infrastructures threatened by hazard effects. The Chamber of Commerce may offer a perspective on damage to businesses and general economic loss. Other sources of information mentioned previously – emergency service logs and reports, universities, professional associations, etc. – also apply.

It is also important to involve civic leaders, members of the public, and representatives of community-based organizations in the planning process. They may serve as an important resource for validating assumptions about public needs, capabilities, and reactions. Since many planning assumptions and response activities will directly impact the public-at-large, it is critical to not only involve these representatives during the planning phase but also to ensure their inclusion during validation and implementation. Potential roles include support to planning teams, public outreach, and establishing Community Emergency Response Teams (CERTs).

The second step of research is organizing the information in a way that is usable by the planning team. Each hazard can be described using the eight disaster descriptions listed below:

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1. Probability - What is the chance of the hazard happening and how often will it happen,
2. Magnitude – how intense will the hazard strike the jurisdiction,
3. Intensity/severity – the impact or damage expected,
4. Warning Time – How much time will you have to warn citizens to get out of the way of the hazard,
5. Location of the event – where is the hazard most likely to hit,
6. Size - Potential size of the disaster area,
7. Speed of onset – how fast the hazard can impact the public, and
8. Duration – how long the hazard will be active.

Each hazard as given in the County Mitigation Plan can be measured using these eight hazard descriptions.

## **Analyze the information**

Hazard analysis is the basis for mitigation and infrastructure protection efforts and EOP development. From an emergency planning perspective, hazard analysis helps a planning team decide what hazards merit special attention, what actions must be planned for, and what resources are likely to be needed.

FEMA Publication 6-2, *Understanding Your Risks: Identifying Hazards and Estimating Loss*, provides a detailed method for conducting hazard and risk assessments for many hazards. Planners can also obtain the Hazards U.S. Multi-Hazard (HAZUS-MH) model from FEMA. HAZUS-MH is a nationally applicable and standardized methodology and software program that estimates potential losses from earthquakes, floods, and hurricane winds. In addition, DHS has several resources available for the analysis of human caused events, primarily terrorism. These resources include the *National Planning Scenarios*, *Fusion Center Technical Assistance*, and *Transit Risk Assessment Module/Maritime Assessment Strategy Toolkit*. Hazard analysis requires that the planning team knows the kinds of emergencies that have occurred or could occur in the jurisdiction. The process should begin with a list of the hazards that concern emergency managers in the planners' jurisdiction, developed from research conducted earlier in the planning process. A list of concerns might include those listed in the hazards table that follows.

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Planners must remember to keep in mind that hazard lists pose two problems.

The first is the possibility that in making the list you will either keep out intentionally or just plain forget to include certain types of hazards. The second is that such lists tend to give the impression that hazards are distinct events and that two or more can not be related, when in fact they are often related (for example, an earthquake might give rise to dam failure). Lists may group very different causes or sequences of events that require different types of responses under one category. For example, "Flood" might include dam failure, cloudbursts, or heavy rain upstream. Lists also may group a whole range of consequences under the category of a single hazard. "Terrorism," for example, could include use of conventional explosives against people or critical infrastructure; nuclear detonation; or release of lethal chemical, biological, or radiological material.

Natural Hazards	Technological Hazards	Human-Caused Hazards
- Avalanche	- Airplane Crash	- Civil Disturbance
- Drought	- Dam Failure	- School Violence
- Earthquake	- HAZMAT Release	- Terrorist Act
- Epidemic	- Power Failure	-Sabotage
- Flood	- Radiological Release	
- Hurricane	- Train Derailment	
- Landslide	- Large Disastrous Fire	
- Tornado		
- Volcanic Eruption		
- Wildfire		
- Winter Storm		

The planning team must compare and prioritize risks to determine which hazards merit special attention in planning (and other emergency management efforts). It also must consider the frequency of the hazard and the likelihood or severity potential of its consequences in order to develop a single indicator of the threat. This allows for comparisons and the setting of priorities. Some hazards may pose a threat to the community that is so limited that additional analysis is not necessary.

## **Determine Goals and Objectives**

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By using information from the hazard profile developed as part of the analysis process, the planning team thinks about how the hazard would evolve in the jurisdiction and what defines a successful response. Starting with a given intensity for the hazard, the team imagines the hazard's development from initial warning (if available) to its impact on the jurisdiction (as identified through analysis) and its generation of specific consequences (e.g., collapsed buildings, loss of critical services or infrastructure, death, injury, or displacement). These scenarios should be realistic and created on the basis of the jurisdiction's hazard and risk data. Planners may use the event or events that have the greatest impact on the jurisdiction (worst case), those that are most likely to occur, or an event constructed from the impacts of a variety of hazards. During this process of building a hazard scenario, the planning team identifies the needs, determines appropriate response actions and resources. Planners are looking for hazard, response, and constraint-generated needs and demands.

- Hazard-generated needs and demands are caused by the nature of the hazard. They lead to response functions like public protection, population warning, and search and rescue.
- Response-generated needs and demands are caused by actions taken in response to a hazard-generated problem. These tend to be common to all disasters. An example is the potential need for emergency refueling during a large-scale evacuation. Subsets could include the needs to find a site for refueling, identify a fuel supplier, identify a fuel pumping method, control traffic, and collect stalled vehicles.
- Constraint-generated demands are caused by things planners must do, are prohibited from doing, or are not able to do. The constraint may be caused by a law, regulation, or management directive or by some physical characteristic (e.g., terrain and road networks that make east west evacuations impossible).

Once the needs and demands are identified, the planning team restates them as goals supported by specific objectives. Written properly, they tell responding organizations what to accomplish and by when.

**Goals** are established with each goal giving a statement of what needs to be done in general, such as “the jurisdiction will open shelters in support of victims of tornado strikes.” Goals are what personnel and equipment resources are supposed to achieve.

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They help identify when major elements of the response are complete and when the response is successful.

Each of these goals is supported by a specific **objective**, an objective being an action that responders must complete to help achieve their goals, such as “contact the pre-identified shelter managers for each part of the jurisdiction that requires shelters within 1 hour of being notified that a tornado has touched down.” Objectives are more specific and identifiable actions carried out during the response. They lead to achieving response goals. They are the things that responders have to accomplish – the things that translate into activities, implementing procedures, or operating procedures by. As goals and objectives are set, planners may identify more needs and demands.

## **Develop and Analyze Courses of Action, Identify Resources**

This step is a process of generating and comparing possible solutions for achieving the goals and objectives identified in Step 4. The same scenarios used during problem identification are used to develop potential courses of action. Planners consider the needs and demands, goals, and objectives to develop several response alternatives. At least two options should always be considered. Although developing only one solution may speed the planning process, it will most likely provide an inappropriate response, leading to more damaging effects on the affected population or environment.

The process of developing courses of action is often referred to as either game planning or war gaming. It combines aspects of scenario-based, functional, and capabilities-based planning. At its core, game planning is a form of brainstorming. It depicts how the response unfolds by using a process of building relationships among the hazard action, decision points, and response actions. Game planning helps planners determine what tasks occur immediately at event initiation, tasks that are more mid-event focused, and tasks that affect long-term operations. The planning team should work through this process by using tools that help members visualize response flow, such as a white board, “yellow sticky chart,” or some type of project management or special planning software. Game planning follows these steps:

1. Establish the timeline. The timeline is most often determined by the speed of hazard onset. The timeline may also change by phases. For example, a hurricane’s speed of onset is typically days, while a major HAZMAT incident’s



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speed of onset is minutes. The timeline for a hurricane might be in hours and days, particularly during the pre- and post-impact phases. The timeline for the HAZMAT incident would most likely be in minutes and hours.

2. Depict the scenario. Planners use the scenario information developed in Step (Determine Goals and Objectives) and place the hazard information on the time line.
3. Identify and depict decision points. Decision points indicate the place in time, as hazard events unfold, when leaders anticipate making decisions required to provide the best chance of achieving an intermediate objective or response goal (the desired end state). They also help planners determine how much time is available or needed to complete a sequence of actions.
4. Identify and depict response actions. For each response action depicted, some basic information is needed. Developing this information during game planning helps planners incorporate the task into the plan when they are writing it. A response action is correctly identified when planners can answer the following questions about it:
  - What is the action?
  - Who does it?
  - When do they do it?
  - How long does it take/how much time is actually available to do it?
  - What has to happen before it?
  - What happens after it?
  - What resources does it need?
5. Identify resources. Initially, the planning team identifies resources needed to accomplish response tasks in an unlimited manner. The objective is to identify the resources needed to make the response work. Once the planning team identifies all the needs and demands, they begin matching available resources to requirements. By tracking obligations and assignments, the planning team determines resource shortfalls and develops a list of needs that private suppliers or other jurisdictions might fill. The resource base also should include a list of facilities vital to emergency operations, and the list should indicate how individual

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hazards might affect the facilities. The EOP should account for unsolvable resource shortfalls so they are not just “assumed away.”

6. Identify information needs. Another outcome from the game planning effort is a “list” of the information needs for each of the response participants. Planners need to identify the information they need and the time they need it by to drive decisions and trigger critical actions.
7. Assess progress. When game planning, the process should be periodically stopped so the planning team can:
  - Identify progress made,
  - Identify goals and objectives met and new needs or demands,
  - Identify “single point failures” (i.e., tasks that, if not completed, would cause the response to fall apart),
  - Check for gaps,
  - Check for mismatched organizations, and
  - Check for problems between the jurisdiction’s plan and plans from agencies and or other jurisdictions they are working with.

## **Write the Plan**

This step turns the results of game planning into an emergency plan. The planning team develops a rough draft of the base plan, emergency support function responsibilities, support plans and incident specific plans (if needed). The recorded results of the game planning process used in the previous step provide an outline for the rough draft. As the planning team works through successive drafts, they add necessary tables, charts, and other graphics. A final draft is prepared and circulated to organizations that have responsibilities for implementing the plan for their comments.

Following these simple rules for writing plans and procedures will help ensure that readers and users understand their content.

Keep the language simple and clear by writing in plain English. Summarize important information with checklists and visual aids such as maps and flowcharts.

- Avoid using jargon.
- Use short sentences and the active voice. Qualifiers and vague words only add to confusion.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

- Provide enough detail to convey an easily understood concept of operations.
- Format the plan and present its content so that its readers can quickly find solutions and options.
- Focus on providing mission guidance and not on discussing policy and regulations.
- Plans should provide guidance for carrying out common tasks as well as enough insight into intent and vision so that responders can handle unexpected events.
- “Stay out of the weeds.” Procedural documents (SOP/SOGs, Policies, and Implementation Procedures) should provide the fine details.

## **Approve and Implement the Plan**

The written Plan should be checked for its conformity to applicable regulatory requirements and the standards of Federal or State agencies (as appropriate) and for its usefulness in practice. Once the plan has been approved by the Local/County Chief Executive then the plan is forwarded to the KyEM Area Manager and on to the Planning Branch for final review and letter of concurrence. The plan is officially implemented with the Chief Executive’s signature and letter of approval that is in the current Local/County Emergency Operations Plan. (An example of a letter is in Annex C)

FEMA regional offices may assist States in the review of emergency plans, upon request. Hazard-specific Federal programs (such as the Radiological Emergency Preparedness Program [REPP]) require periodic review of certain sections of the all-hazards plan and may require review of associated standard operating procedures (SOPs). Conducting a tabletop exercise involving the key representatives of each tasked organization may serve as a practical and useful means to help validate the plan.

The team should arrange to print and distribute the plan. Each jurisdiction must maintain a record of the people and organizations that received a copy (or copies) of the plan.

## **Exercise the Plan and Evaluate its Effectiveness**

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

Exercising the plan and evaluating its effectiveness involve training and using exercises and evaluating actual events to determine whether the goals, objectives, decisions, actions, and timing outlined in the plan led to a successful response. In this way, homeland security and other emergency preparedness exercise programs (e.g., Homeland Security Exercise and Evaluation Program [HSEEP], and Chemical Stockpile Emergency Preparedness Program [CSEPP]) become an integral part of the planning process. Commonly used criteria can help decision makers determine the effectiveness and efficiency of plans. These measures include adequacy, feasibility, acceptability, completeness, and compliance with guidance or doctrine. Decision makers directly involved in planning can employ these criteria, along with their understanding of plan requirements, not only to determine a plan's effectiveness and efficiency but also to assess risks and define costs. Some types of analysis, such as a determination of acceptability, are largely intuitive. In this case, decision makers apply their experience, judgment, intuition, situational awareness, and discretion. Other analyses, such as a determination of feasibility, should be rigorous and standardized to minimize subjectivity and preclude oversights.

- **Adequacy. Does the Plan fit the stated needs?**

A plan is adequate if the scope and concept of planned response operations identify and address critical tasks effectively; the plan can accomplish the assigned mission while complying with guidance; and the plan's assumptions are valid, reasonable, and comply with guidance.

- **Feasibility. Can the Jurisdiction actually carry out the plan?**

When determining a plan's feasibility, planners assess whether their organization can accomplish the assigned mission and critical tasks by using available resources within the time contemplated by the plan. They allocate available resources to tasks and track the resources by status (assigned, out of service, etc.). Available resources include internal assets and those available through mutual aid or through existing State, Regional compact, or Federal assistance agreement.

- **Acceptability. Do the public and jurisdiction officials agree with the cost and time factors, presented by the plan, and does it meet all legal/programmatic requirements?**

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A plan is acceptable if it meets the needs and demands driven by the event, meets decision-maker and public cost and time limitations, and is consistent with the law. The plan can be justified in terms of the cost of resources and if its scale is proportional to mission requirements. Planners use both acceptability and feasibility tests to ensure that the mission can be accomplished with available resources, without incurring excessive risk regarding personnel, equipment, materiel, or time. They also verify that risk management procedures have identified, assessed, and applied control measures to mitigate operational risk (risk of achieving operational objectives).

- **Completeness. Has the plan taken everything into account?**

Planners must determine if the plan:

- Incorporates all tasks to be accomplished,
- Includes all required capabilities,
- Provides a complete picture of the sequence and scope of the planned response operation (i.e., what should happen, when, and at whose direction),
- Makes time estimates for achieving objectives, and □ □ Identifies success criteria and a desired end state.

- **Compliance with Guidance and Doctrine. Does the plan comply with Federal and State program guidance?**

- The plan needs to comply with guidance and doctrine to the maximum extent possible, since they provide a baseline that

A remedial action process can help a planning team identify, illuminate, and correct problems with the jurisdiction's EOP. This process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning team together again to discuss the problem and to consider and assign responsibility for generating remedies. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (i.e., the SOPs). Remedial actions also may involve providing refresher training on performing tasks assigned by the EOP to an organization's

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

personnel. The final component of a remedial action process is a mechanism for tracking and following up on the assigned actions. As appropriate, significant issues and problems identified through a remedial action process and/or the annual review should provide the information needed to allow the planning team to make the necessary revision(s) to the plan.

## **Review, Revise and Maintain the Plan**

This step closes the loop in the planning process. It is really all about adding the information gained in Step 8 to the research collected in Step 1 and starting the planning cycle over again. Remember, emergency planning is a continuous process that does not stop when the plan is published. During a year there are many changes/updates in the plan that are listed and approved for use. Some of the changes that could be noted and reported are:

- A change in response resources (policy, personnel, organizational structures, or leadership or management processes, facilities, or equipment),
- A formal update of planning guidance or standards,
- A change in elected officials,
- After Action Review issues reported after an activation of the plan,
- After Action Review issues reported after major exercises,
- A change in the jurisdiction's demographics or hazard profile, or
- New or amended laws or ordinances are enacted.

In accordance with Kentucky Administrative Regulation 106 KAR 1:200, planning teams should establish a process for reviewing and revising the County EOP by July 31<sup>st</sup> of each calendar year. All updates and changes should be sent to the KyEM Area Manager by May 1<sup>st</sup> so the EOP can be forwarded to the Planning Branch for final review and concurrence.

The planning process is all about response stakeholders bringing their strengths to the table to develop and reinforce a jurisdiction's emergency management program. Properly developed, supported, and executed emergency plans are a direct result of an active and evolving program.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

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KENTUCKY

EOP

TEMPLATE



# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

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# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## Kentucky EOP Template

### The Kentucky Emergency Operations Plan (KyEOP) Structure

The KyEOP is the document as described and required by Kentucky Revised Statute 39A.050 (2) (c) which states that the Director, Kentucky Division of Emergency Management is required to:

***“develop and maintain a comprehensive, risk-based, all-hazards disaster and emergency response plan entitled "Kentucky Emergency Operations Plan," the provisions of which shall establish the organizational structure to be utilized by state government for managing disaster and emergency response, and set forth the policies, procedures, and guidelines for the coordination and execution of all disaster and emergency response for an emergency, declared emergency, disaster, or catastrophe in the Commonwealth.”***

The KYEOP implements the incident management concepts as listed in the National Incident Management System (NIMS), supports the implementation of the federal National Response Framework and consists of the following major divisions, a Basic Plan, Emergency Support Function Annexes, Supporting Annexes and Incident Specific Annexes.

The Basic Plan contains the general situations and planning assumptions used to develop the overall plan. It also contains an executive overview of the State Hazard Analysis and uses that to establish the most likely hazards for the Commonwealth. A concept of operations is described as to where and how the KYEOP is implemented across the various phases of emergency management, how the plan establishes general organizational roles and responsibilities, delineates in general terms activation and deployment of assets and gives basic guidance on continuity of government. The Basic Plan also establishes a plan maintenance program that ensures the adequate development, maintenance, training and exercises necessary for the fully support of the plan once it is developed.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

The Emergency Support Function Annexes (ESF) describe the fifteen most likely emergency support activities to be supported by the Commonwealth during an incident or planned event. Not all ESFs will be activated during any given incident. Each incident will be evaluated and the ESFs most useful to the response effort will be activated and deployed in response to the incident. Each ESF will be assigned a Primary Agency for ESF administrative and operational duties and each ESF will be associated with support agencies having either jurisdictional or operational interest in the implementation of the KYEOP.

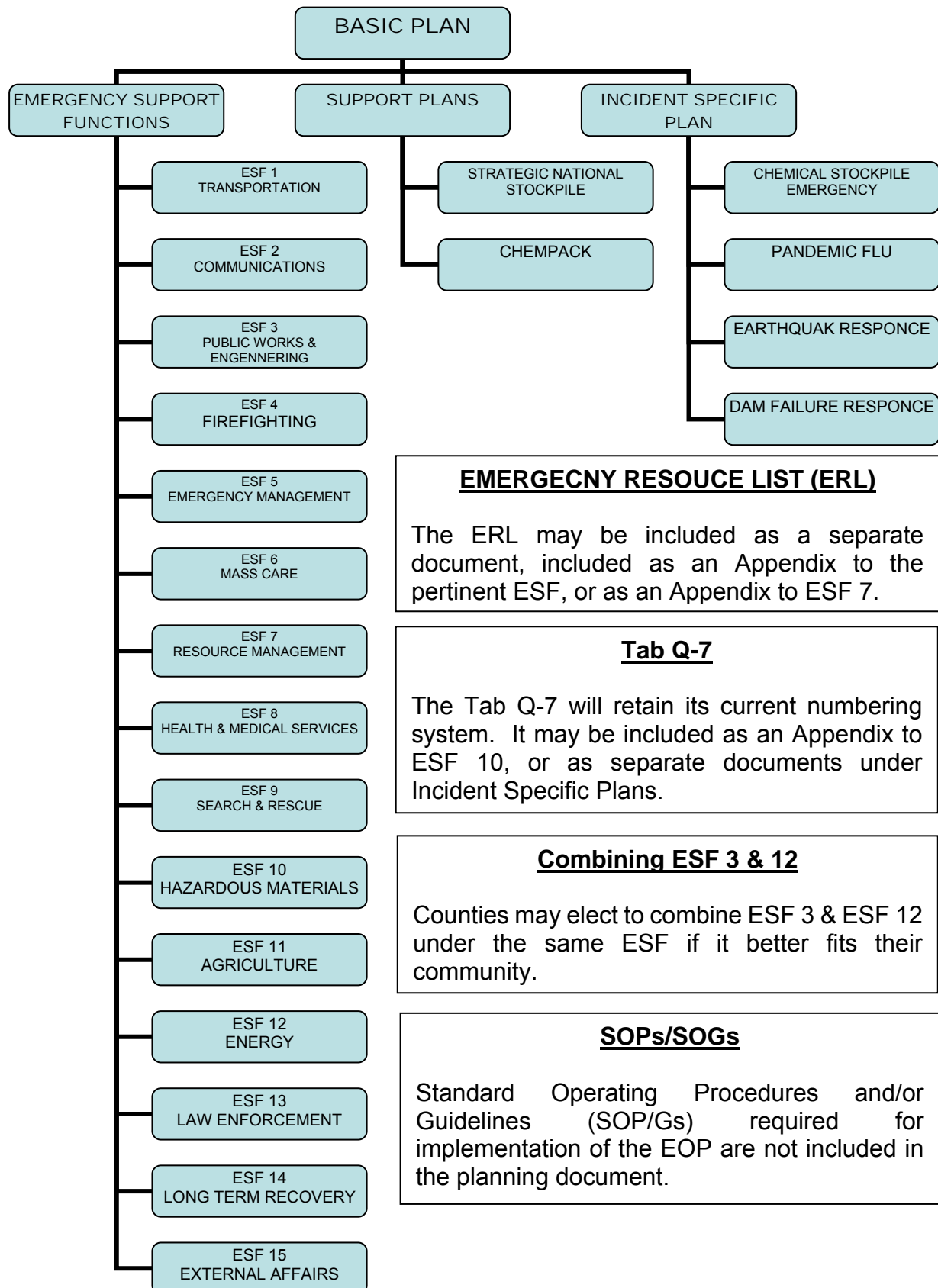
Support Plans are developed to meet specific ESF operational needs and may be used across a wide spectrum of events and incidents. An example of such a support plan is the Strategic National Stockpile Support Plan (SNS) which supports the activation and operation of ESF – 8 Medical by describing how and where federal and private medical resources may be staged, transported, and dispensed to citizens. The SNS is not related to any specific event or incident need, but does support the overall ESF-8 Medical mission.

Incident Specific Plans provide stand alone highly focused guidance for a unique incident or event that is specific in nature and requires additional description and in-depth assignment of roles and responsibilities above and beyond the normal ESF activities. An example of this type of plan is the Chemical Stockpile Emergency Preparedness Program Plan (CSEPP). This Incident Specific Plan is written to an exacting standard established by CSEPP program guidance and is solely focused on an incident at the Bluegrass Army Depot and involving chemical weapons stored at the Depot. Once this specific hazard is no longer present, this plan will be retired and will no longer apply to general emergency response within the Commonwealth.

The Standard Operating Procedures and or Guidelines (SOP/Gs) required for the implementation of the KYEOP are not included in the planning document because of their voluminous nature. SOP/Gs are the detailed operating procedures of departments and agencies and are maintained by those departments and agencies.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## Kentucky Emergency Operations Plan Template



# Emergency Support Functions



**ESF 1**  
**Transportation**



**ESF 2**  
**Communications**



**ESF 3**  
**Public Works**



**ESF 4**  
**Firefighting**



**ESF 5**  
**Emergency Management**



**ESF 6**  
**Mass Care & Sheltering**



**ESF 7**  
**Resource Support**



**ESF 8**  
**Public Health**



**ESF 9**  
**Search & Rescue**



**ESF 10**  
**Hazardous Materials**



**ESF 11**  
**Agriculture**



**ESF 12**  
**Energy**



**ESF 13**  
**Law Enforcement**



**ESF 14**  
**Long-term Recovery**



**ESF 15**  
**Public Information**

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## KENTUCKY EMERGENCY OPERATIONS PLAN TABLE OF CONTENTS

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Record of Revisions and Changes

Signatories to the Local Emergency Operations Plan (EOP)

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### **Introduction**

Authorities

Purpose

Scope

Structure

ESF/Emergency Support Functions w/Descriptions

### **Situations and Assumptions**

Situations

Assumptions

Hazard Analysis and Assessment

### **Direction and Control**

General

### **Concept of Operations**

General

Continuity of Government

Local EOP Implementation

Phases of Emergency Management

Organization and Assignment of Responsibilities

Roles and Responsibilities

Plan Maintenance

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **ADMINISTRATIVE APPENDICES - LIST OF ATTACHMENTS**

Appendix A - List of Acronyms/Abbreviations

Appendix B - Terms and Definitions

## **EMERGENCY SUPPORT FUNCTIONS**

ESF # 1 – Transportation

ESF # 2 – Communications & Alerting

ESF # 3 – Public Works

ESF # 4 – Fire Fighting

ESF # 5 – Emergency Management

ESF # 6 – Mass Care, Housing & Human Services

ESF # 7 – Resource Management

ESF # 8 – Health and Medical Services

ESF # 9 – Search & Rescue

ESF # 10 – Oils Spills & Hazardous Materials

ESF # 11 – Agriculture

ESF # 12 – Energy

ESF # 13 – Public Safety & Security

ESF # 14 – Long-Term Community Recovery and Mitigation

ESF # 15 – Public Information

## **SUPPORT PLANS (\*\*\*To be developed)**

Resource Management\*\*\*

School/Daycare

Strategic National Stockpile (SNS)

Health Department

CHEMPACK

Flood\*\*\*

Search & Rescue (SAR)

Continuity of Operations (COOP)

Special Needs\*\*\* (under development)

Military Support to Civilian Authorities

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

Homeland Security (Temporarily???)

## **INCIDENT SPECIFIC PLANS (\*\*To be developed)**

Earthquake Response\*\*\* (under development)

Pandemic Flu

Aircraft Incident\*\*\*

Dam Failure Response\*\*\*

Chemical Stockpile Emergency Preparedness Program (CSEPP)\*\*\* (under  
development)



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# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## The Basic Plan

The Basic Plan contains the general situations and planning assumptions used to develop the overall plan. It also contains an executive overview of the Hazard Analysis and uses that to establish the most likely hazards for the jurisdiction. A concept of operations is described as to where and how the EOP is implemented across the various phases of emergency management, how the plan establishes general organizational roles and responsibilities, delineates in general terms activation and deployment of assets and gives basic guidance on continuity of government. The Basic Plan also establishes a plan maintenance program that ensures the adequate development, maintenance, training and exercises necessary for the fully support of the plan once it is developed. The following outline describes the content of the Basic Plan by section.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## BASIC PLAN

### **Executive Order**

This Executive Order by the Chief Executive of the Jurisdiction approves the plan as written and requires the use of the plan for all emergencies by all agencies under the jurisdiction's control. In the event of a joint plan between local and county jurisdictions – all Chief Executives will include an Executive Order approving and supporting the EOP.

The Executive Order may be placed as the first document in the Plan or along with the Signature Page

### **Table of Contents**

A listing of the sections and associated documents that are included in the entire EOP.

### **Record of Revisions and Changes**

This is a log of the changes made to the plan from the date of its writing to the present.

### **Forward**

The Forward is a short one page description of the EOP's major components and how they interact when the plan is implemented.

### **Signatories to the EOP**

This section lists the signatures of those Chief Executives of the Agencies that participate in and support the EOP.

### **Authorities**

The Authorities (**KRS, KAR, ordinances, SOPS, Policies, and Mutual Aid Agreements**) paragraph gives a list of the primary authorities that underpin the EOP in general and those authorities that are directly related to specific parts of the plan, and require listing in the beginning.

### **Purpose**

The Purpose section is a general statement of why the EOP exists and a brief description of the major reasons the EOP was developed for.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **Structure**

The Structure section is a short description of the major components of the EOP with an ESF by ESF description of the fifteen basic ESFs contained in the EOP. .

## **Emergency Support Function List/Descriptions**

This is a list of the 15 primary Emergency Support Functions (ESF), along with a brief description of each ESF. This section is supported by Figure 1 which is the graphic display for Primary and Support assignments of agencies within the Jurisdiction as they relate to the fifteen basic Support Functions

## **Situation and Assumptions**

These two sections describe the basic standard situations under which the EOP may be activated. Here is where those key planning assumptions are listed so as to show the limitations of the plan, as it is a reflection of how the jurisdiction “plans” for an incident to happen, but does not tell exactly how the incident will unfold.

## **Hazard Analysis and Assessment**

This is where the jurisdiction identifies the hazards that would most likely threaten the jurisdiction and a short review of each hazard is given. The best place to start is with the Mitigation Program Hazard Analysis that has been completed for every County in the Commonwealth. This analysis and assessment can be obtained from your Area Development District office.

## **Direction and Control**

This section provides a general description of the Emergency Management Direction and Control within the County.

## **Concept of Operations**

The Concept of Operations gives an overview of how the jurisdiction will operate during a response to an emergency, disaster for catastrophe. The Concept of Operations will describe the basic succession of authority within the County for a simplest form of a **continuity of government** plan. It will describe how and when the **EOP will be**

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

**activated and used.** The Concept of Operations will establish **phases of operation, Preparedness, Response and Recovery.** It will establish the **general organizational structure** of the jurisdiction's emergency management team, outlining **how the jurisdiction will implement the plan** and how it will **implement the National Incident Management System** as a primary strategic and tactical guide to operations.

Included in this section will be a full description on how the jurisdiction's **Emergency Operations Center is organized, operates and what the specific Roles and Responsibilities are of the various Emergency Support Function agencies.** The methods for **activating resources** within the jurisdiction will be discussed along with guidance on reporting information throughout the emergency management system.

**Continuity of Operations and Continuity of Government,** to include identification of backup Emergency Operations Centers will be discussed in general, with more in-depth plans referenced. The **lines of succession** for senior executives in the jurisdiction will be established and identified as directed in statute or ordinance.

The general **recovery and deactivation process** for resources and agencies activated for any given emergency, disaster and catastrophe will be outlined with references to any more in-depth standard operating guidelines or other documents that support the recovery and deactivation process.

## Plan Management

This section of the plan will outline **how the plan is developed, maintained and where it can be requested from.** This section will also contain a basic **Training and Exercising overview** of how the plan is updated through review and use.

## References

This Section of the Basic Plan will list those **specific references** that will be used to **provide in-depth reasoning behind the structure and content** of the overall plan.

## Administrative Appendices

This section of the Basic Plan will have the **Glossary, Definitions and an Acronyms and Abbreviations** list.

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# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **Emergency Support Function Annexes**

The Emergency Support Function Annexes (ESF) describe the fifteen most likely emergency support activities to be supported by the jurisdiction during an incident or planned event. Not all ESFs will be activated during any given incident. Each incident will be evaluated and the ESFs most useful to the response effort will be activated and deployed in response to the incident. Each ESF will be assigned a Primary/Coordinating Agency for ESF administrative and operational duties and each ESF will be associated with support agencies having either jurisdictional or operational interest in the implementation of the KYEOP. When writing the ESF, if possible the ESF Primary/Coordinating Agency will lead an ESF planning group that will include the ESF support agencies and personnel. If this is not possible then the County Emergency Manager or the County Planner can lead the development of the ESF and its contents.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## EMERGENCY SUPPORT FUNCTION

The Emergency Support Function (ESF) will provide a tool for collaboration in planning, communication, information sharing, and coordination of activities before, during, or after an incident. ESFs detail the missions, policies, structures, and responsibilities of their agencies for coordinating resources and programmatic support to other agencies or jurisdictions and entities during an emergency, disaster or catastrophe.

Events may impact only one ESF or may have crosscutting implications for many ESFs. Each ESF is responsible for having the capacity to coordinate the aspects of any event that falls within their ESF area of responsibility.

The primary ESFs supported by the EOP Structure are:

**ESF- 1, Transportation** – Provides for coordination, control and allocation of transportation assets in support of the movement of emergency resources the evacuation of people; including movement of people and the routing of people and emergency resources.

**ESF- 2, Communications and Alerting** – Provides emergency warning, information and guidance to the public. Facilitates the requirements and resources needed to provide for backup capability for all means of communication.

**ESF- 3, Public Works & Engineering** – Provides for debris clearance, roads, highways and bridge repairs, engineering, construction, repair and restoration of essential public works systems and services, and the safety inspection of damaged public buildings.

**ESF- 4, Fire Fighting** – Provides for mobilization and deployment of coordinated fire fighting resources to combat wildland, rural and urban fires, as well as supporting hazardous materials incidents; provides incident management assistance for on-scene incident command and control operations.

**ESF- 5, Emergency Management** – Provides for the overall management and coordination of the jurisdiction's emergency operations and the EOC. Collects, analyzes and disseminates critical information on emergency operations for decision making purposes.

**ESF- 6, Mass Care, Emergency Assistance, Housing and Human Services**



# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

Manages and coordinates sheltering, feeding, and first aid for disaster victims. Provides for temporary housing, food, clothing, and special human needs in situations that do not warrant mass-care systems.

**ESF- 7, Resource Support** – Coordinates the acquisition of resources through mutual aid agreements and procurement procedures for all functional areas/groups, as needed; provides for coordination, warehousing, movement, and documentation of personnel, equipment, supplies, facilities, and services used during disaster response and relief operations.

**ESF- 8, Health and Medical Services** – Coordinates care and treatment for the ill and injured. Mobilizes trained health and medical personnel and other emergency medical supplies, materials and facilities. Provides public health and environmental sanitation services, disease and vector control, and the collection, identification, and protection of human remains.

**ESF- 9, Search & Rescue** – Provides resources for ground, water, and airborne activities to locate, identifies, and removes from a stricken area, persons lost or trapped in buildings and other structures. Provides for specialized emergency response and rescue operations.

**ESF- 10, Hazardous Materials** – Provides response, inspection, containment and cleanup of hazardous materials accidents or releases.

**ESF – 11, Agriculture & Natural Resources**– Coordinates response to Animal and Plant Disease response, food safety and security.

**ESF- 12, Energy** – Coordinates with the private sector for the emergency repair and restoration of critical public energy utilities, (i.e., gas, electricity, etc.). Coordinates the rationing and distribution of emergency power and fuel, as necessary.

**ESF- 13, Law Enforcement & Security** – Coordinates for the protection of life and property by enforcing laws, orders, and regulations, including the movement of persons from threatened or hazardous areas and provides for area security, traffic control, and access control.

**ESF- 14, Long-Term Community Recovery and Mitigation** – Coordinates Long-Term community recovery assistance to Local Governments and manages the State Mitigation Program.

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**ESF- 15, Public Information** – Coordinates the Joint Information System, manages the Joint Information Center and coordinates with all Public Information Officers.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **ESF FORMAT - COUNTY**

### **EMERGENCY SUPPORT FUNCTION # [ NUMBER ] [Title]**

This is the number of the ESF and the name/title assigned to it.

Example: ESF #1 - Transportation

### **COORDINATING AGENCY/INDIVIDUAL**

The Coordinating Agency/Individual is the primary agency or individual that will be the single point of contact for the management of the ESF. The Coordinating Agency/Individual should have the primary responsibility for implementing the ESF in the County EOC.

### **SUPPORT AGENCIES**

This is a list of the Agencies that will support the implementation of the ESF.

### **LOCAL RESOURCE**

Local Resources are those resources that the County has direct administrative and operational control over. These would be those agencies and activities within County Government that would assist the ESF Coordinator, but may not be directly associated with the ESF, as the agencies listed in the Support Agencies Section.

### **STATE RESOURCE**

This is a list of those resources that are located in the County but that the County has no direct administrative or operational control over. These resources/agencies could be a source of assistance during a disaster and will require pre-negotiation/coordination to make sure they are aware of their potential role in a County disaster. This could include State Regional and Area offices, private agencies, Federal Agencies (Coast Guard, TVA). Not all available agencies would be listed under this section as they would vary from County to County and be difficult to include every agency that “could” be affected by the impact by a disaster.

### **PURPOSE**

This is a brief description of the fundamental purpose for this ESF.

### **SITUATIONS & ASSUMPTIONS**

This section outlines general situations in which an ESF asset would be activated and general assumptions about the area and population that would impact their operations.

### **SCOPE**

What is the coverage of this ESF – such as this applies to all agencies within the county

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

and will be implemented when required.

## **DIRECTION AND CONTROL**

This section provides a general description how the Coordinating Agency will handle the Direction and Control of this ESF.

## **CONCEPT OF OPERATIONS**

### **Preparedness**

This section provides a general description of what the Coordinating Agency is doing to stay prepared in case of an incident.

### **Response**

This section provides a general description of what the Coordinating Agency will do to respond to an incident.

### **Recovery**

This section provides a general description of what the Coordinating Agency will do to help with short- or long-term recovery after an incident.

## **ASSIGNMENT OF RESPONSIBILITIES**

### **Primary Agency**

This section assigns the major responsibilities for the Primary ESF Agency/Coordinator  
**Support Agencies**

This section assigns the major responsibilities for the Support ESF  
Agencies/Coordinators

## **ESF MAINTAINENCE**

This section explains how each emergency support function will be maintained before, during and after an incident.

## **REFERENCES**

This section will list available references that agencies/individuals can refer to for help in all phases of an incident.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **ESF FORMAT - STATE**

### **EMERGENCY SUPPORT FUNCTION # [ NUMBER ] [Title]**

This is the number of the ESF and the name/title assigned to it.

Example: ESF #1 - Transportation

## **COORDINATING AGENCY**

The Coordinating Agency is the primary agency or individual that will be the single point of contact for the management of the ESF. The Coordinating Agency should have the primary responsibility for implementing the ESF.

## **SUPPORT AGENCIES**

This is a list of the Agencies that will support the implementation of the ESF.

## **MISSION**

This is a brief description of the fundamental purpose for this ESF. (end here)

## **DIRECTION AND CONTROL**

This section provides a general description how the Coordinating Agency will handle the Direction and Control of this ESF.

## **CONCEPT OF OPERATIONS**

### **Preparedness**

This section provides a general description of what the Coordinating Agency is doing to stay prepared in case of an incident.

### **Response**

This section provides a general description of what the Coordinating Agency will do to respond to an incident.

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This section provides a general description of what the Coordinating Agency will do to help with short- or long-term recovery after an incident.

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## **ASSIGNMENT OF RESPONSIBILITIES**

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## **Support Plans**

Support Plans are developed to meet specific ESF operational needs and may be used across a wide spectrum of events and incidents. An example of such a support plan is the Strategic National Stockpile Support Plan (SNS) which supports the activation and operation of ESF – 8 Medical by describing how and where federal and private medical resources may be staged, transported, and dispensed to citizens. The SNS is not related to any specific event or incident need, but does support the overall ESF-8 Medical mission. Support plans may be written in either the ESF Format or the Operational Annex Format.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## **Incident Specific Plans**

Incident Specific Plans provide stand alone highly focused guidance for a unique incident or event that is specific in nature and requires additional description and in-depth assignment of roles and responsibilities above and beyond the normal ESF activities. An example of this type of plan is the Chemical Stockpile Emergency Preparedness Program Plan (CSEPP). This Incident Specific Plan is written to an exacting standard established by CSEPP program guidance and is solely focused on an incident at the Bluegrass Army Depot and involving chemical weapons stored at the Depot. Once this specific hazard is no longer present, this plan will be retired and will no longer apply to general emergency response within the Commonwealth. The format for Incident Specific Plans may mirror the County Plan, using a Basic Plan and Emergency Support Functions or it may be written in a different format based on local needs or specific program guidance.

The information included in the ISP is only what is necessary for the accomplishment of the specific mission associated with the ISP. General emergency activities are already discussed in the County EOP and should not be repeated in the ISP.



# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## ANNEX A – Concept of Operations Using ESF's

### State Emergency Operations Center when activating under an Emergency Support Function based Emergency Operations Plan - FLOOD

Activate the EOC based on the initial assessment of the Disaster.

#### **ESF 1 – Transportation – KYTC**

1. Clearing of Roads
2. Re-building Transportation Infrastructure

#### **ESF 5 – Emergency Management – KyEM**

Always activated to manage the event

#### **ESF 6 – Mass Care, Housing and Human Services – Kentucky Red Cross**

1. Activated to coordinate housing for evacuees from the flood
2. Coordinate feeding for evacuees and responders

#### **ESF 8 – Public Health and Medical Services – Cabinet for Health Services**

1. Coordinate Health Department response to flood
2. Check on water/sewer system issues
3. Check on reuse of home food products

#### **ESF 9 – Search and Rescue – KyEM**

Coordinate recovery of citizens from flooding zones

#### **ESF 10 – Oil and Hazardous Materials Response – EPPC**

Flood caused spills and releases

#### **ESF 11 – Agriculture and Natural Resources – KDA**

Animal management in flooded Ag areas

#### **ESF 13 – Public Safety and Security – Justice Cabinet (KSP/KVE/Fish and Wildlife Officers)**

1. Security of flooded areas
2. Protection for responders

#### **ESF 15 – Joint Information Center – KyEM**

Set up JIC and coordinate with State Agency and Local PIOs

Each ESF Primary Agency will assign an ESF Coordinator to the SEOC and activate an ESF Operations Center either co-located with the SEOC or at the Primary Agency's Department Operations Center.

**NOTE:** A highly localized event may only require the ESF Coordinator without any support agencies.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## ANNEX B – Planning Group Participants

Individuals/Organizations	What They Bring to the Planning Team
Senior Elected Official (SEO) or designee	<ul style="list-style-type: none"> <li>• Support for the emergency planning process</li> <li>• Government intent by identifying planning goals and essential tasks Policy guidance and decision-making capability</li> <li>• Authority to commit the jurisdiction's resources</li> </ul>
Emergency Manager or designee	<ul style="list-style-type: none"> <li>• Knowledge about all-hazard planning techniques</li> <li>• Knowledge about the interaction of the tactical, operational, and strategic response levels</li> <li>• Knowledge about the preparedness, response, recovery, and mitigation strategies for the jurisdiction</li> <li>• Knowledge about existing mitigation, emergency, continuity, and recovery plans</li> </ul>
Fire Services Chief or designee	<ul style="list-style-type: none"> <li>• Knowledge about fire department procedures, on-scene safety requirements, hazardous materials response requirements</li> <li>• Knowledge about the jurisdiction's fire-related risks Specialized personnel and equipment resources</li> </ul>
Law Enforcement Chief or designee	<ul style="list-style-type: none"> <li>• Knowledge about police department procedures, on-scene safety requirements, local laws and ordinances, explosive ordnance disposal methods, and specialized response requirements, such as perimeter control and evacuation procedures</li> <li>• Specialized personnel and equipment resources</li> </ul>
Search and Rescue Coordinator	<ul style="list-style-type: none"> <li>• Search-and-rescue techniques for both urban and rural searches</li> </ul>
Public Works Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's road and utility infrastructure Specialized</li> </ul>

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

Individuals/Organizations	What They Bring to the Planning Team
Local industry representatives	<ul style="list-style-type: none"> <li>• Knowledge about hazardous materials that are produced, stored, and/or transported in or through the community</li> <li>• Facility response plans (to be integrated with the jurisdiction's EOP)</li> <li>• Knowledge about specialized personnel and equipment resources that could be used in an emergency</li> </ul>
Amateur Radio Emergency Service (ARES) / Radio Amateur Civil Emergency Services (RACES) Coordinator	<ul style="list-style-type: none"> <li>• List of ARES/RACES resources that can be used in an emergency</li> </ul>
Media representatives	<ul style="list-style-type: none"> <li>• Knowledge about community media infrastructure and capabilities</li> </ul>
Social services agencies representatives	<ul style="list-style-type: none"> <li>• Knowledge about special needs populations</li> </ul>
Utility representatives	<ul style="list-style-type: none"> <li>• Knowledge about utility infrastructures</li> <li>• Knowledge about specialized personnel and equipment resources that could be used in an emergency</li> </ul>
Veterinarians/animal shelter representatives	<ul style="list-style-type: none"> <li>• Knowledge about the special response needs for animals, including livestock</li> </ul>
Local Federal asset representatives	<ul style="list-style-type: none"> <li>• Knowledge about specialized personnel and equipment resources that could be used in an emergency</li> <li>• Facility response plans (to be integrated with the jurisdiction's EOP)</li> <li>• Knowledge about potential hazards at Federal facilities (e.g., research laboratories, military installations)</li> </ul>

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

Individuals/Organizations	What They Bring to the Planning Team
Transportation Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's road infrastructure</li> <li>• Knowledge about the area's transportation resources</li> <li>• Familiarity with the key local transportation providers</li> <li>• Specialized personnel resources</li> </ul>
Agriculture Extension Service	<ul style="list-style-type: none"> <li>• Knowledge about the area's agricultural sector and associated risks (e.g., fertilizer storage, hay and grain storage, fertilizer and/or excrement runoff)</li> </ul>
Tax Assessor	<ul style="list-style-type: none"> <li>• Records of all properties in the community and their value</li> </ul>
Building Inspector	<ul style="list-style-type: none"> <li>• Knowledge about the types of construction used in the community</li> <li>• Knowledge about land use and land use restrictions</li> <li>• Records of planned development</li> </ul>
School Superintendent or designee	<ul style="list-style-type: none"> <li>• Knowledge about school facilities</li> <li>• Knowledge about the hazards that directly affect schools</li> <li>• Specialized personnel and equipment resources (e.g., buses)</li> </ul>
Nongovernment Organizations (includes participants in Volunteer Organizations Active in Disaster (VOAD), Citizen Corps Councils, and other private, nonprofit, faith-based, and community organizations)	<ul style="list-style-type: none"> <li>• Knowledge about specialized resources that can be brought to bear in an emergency</li> <li>• Lists of shelters, feeding centers, and distribution centers</li> <li>• Knowledge about special needs populations</li> </ul>
Airport/Seaport Managers	<ul style="list-style-type: none"> <li>• Knowledge about risks associated with airport or seaport operations (e.g., fuel storage)</li> <li>• Specialized personnel and equipment resources that could be used in an emergency</li> </ul>

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Individuals/Organizations	What They Bring to the Planning Team
Emergency Medical Services (EMS) Director or designee	<ul style="list-style-type: none"> <li>• Knowledge about emergency medical treatment requirements for a variety of situations</li> <li>• Knowledge about treatment facility capabilities</li> <li>• Specialized personnel and equipment resources</li> <li>• Knowledge about how EMS interacts with the Emergency Operations Center (EOC) and incident command</li> </ul>
Healthcare Facility Manager or designee	<ul style="list-style-type: none"> <li>• Knowledge about the jurisdiction's surge capacity.</li> <li>• Knowledge about medical treatment requirements for a variety of situations</li> <li>• Knowledge about interactions among EMS, hospitals, and health departments</li> <li>• Knowledge about historic surveillance.</li> </ul>
Public Health Officer or designee	<ul style="list-style-type: none"> <li>• Records of morbidity and mortality</li> <li>• Knowledge about the jurisdiction's surge capacity.</li> <li>• Understanding of the special medical needs of the community</li> <li>• Knowledge about historic infectious disease surveillance</li> <li>• Knowledge about infectious disease sampling procedures</li> </ul>
Hazardous Materials Coordinator	<ul style="list-style-type: none"> <li>• Knowledge about hazardous materials that are produced, stored, or transported in or through the community</li> <li>• Knowledge about U.S. Environmental Protection Agency (EPA), Occupational Safety and Health Administration (OSHA), and U.S. Department of Transportation (DOT) requirements for producing, storing, and transporting hazardous materials and responding to hazardous materials incidents</li> </ul>
Mutual Aid Partners	<ul style="list-style-type: none"> <li>• Knowledge about specialized personnel and equipment resources available within their jurisdiction</li> </ul>

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## ANNEX C – Sample Plan Approval

**WHEREAS** KRS 39B.010(1), KRS 39B.030(3), KRS 39C.050(3), and applicable Kentucky administrative regulations requires the development and maintenance of a local emergency operations plan which sets forth the local governments organizational structure, policies, procedures, and guidelines for the management and coordination of all disaster and emergency responses in (*NAME THE COUNTY*) County and its cities; and

**WHEREAS** KRS 39B.030(3), KRS 39B.060(2), KRS 39C.050(3), applicable Kentucky Administrative Regulations, and planning guidance issued by the Kentucky Division of Emergency Management requires the local emergency operations plan be officially approved and adopted by signed executive order of the County Judge/Executive or Mayor; and

**WHEREAS**, the Director of the ..... County Office of Emergency Management has submitted the (*NAME THE COUNTY*) County Emergency Operations Plan to the County Judge Executive for official approval and adoption in accordance with the aforementioned laws, administrative regulations, and planning guidance;

**Now, Therefore**, I ....., .....County Judge/Executive, by virtue of the powers and authorities vested in me by the Constitution and the laws of the Commonwealth of Kentucky, and in accordance with the provisions of KRS 39A to 39F, applicable Kentucky Administrative Regulations, and the ..... County Emergency Management Ordinance, do hereby order and direct the following:

1. The .....County Emergency Operations Plan is officially approved and adopted effective the date of this Executive Order as shown herein.
2. The conveyance of official approval and adoption of the ..... County Emergency Operations Plan through the Executive Order shall remain continuously in effect from the date of this Executive Order as shown herein, or until superseded by a subsequent Executive Order promulgated in accordance with KRS 39B.030(3), KRS 39B.060(2), KRS 39C.050(3), applicable Kentucky Administrative Regulations, and planning guidance issued by the Kentucky Division of Emergency Management.
3. A copy of the official approved and adopted .....County Emergency Operations Plan, including this Executive Order, shall be placed on file for public inspection during regular office hours in the ..... County Office of the Judge/Executive.

Signed the (*DAY*) of (*MONTH*), (*YEAR*)

(*SIGNATURE*)  
County Judge/Executive

ATTEST: (*NAME OF CLERK*)  
County Court Clerk

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# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## ANNEX D – Sample Plan Change Memorandum

### MEMORANDUM (sample)

TO: Holders of the County Emergency Operations Plan

FROM: William R. Padgett, Director

SUBJECT: Revision to the EOP (Change #12)

DATE: September 6, 1999

#### 1. GENERAL

Change #12 to the Kentucky Emergency Operations Plan is hereby promulgated and is effective immediately.

#### 2. INSTRUCTIONS:

Remove Tabs A-6-1 (ESF Functional Responsibilities) and A-6-3 (ESF Definitions), replace with the attached Tabs A-6-1 and A-6-3. **Do not remove Tab A-6-2.**

Remove entire Annex L (Search and Rescue), including all Appendices, replace with attached Annex L and Appendices L-1, L-2, L-3, L-4 and L-5.

Remove Annex G (Military Support) pages G-1 and G-2, replace with Annex G pages G-1 and G-2. **Do not remove pages G-3 through G-5.**

Insert attached Appendix EE-1 (Evacuation Routes) behind Annex EE (Evacuation).

#### 3. RECORD OF CHANGE:

On the Record of Change page, which is located in the front of the plan, enter the following:

CHANGE: #12  
DATE OF CHANGE: September 1999  
DATE ENTERED: Actual date the change is entered in the holders copy.  
CHANGE MADE BY: Signature of person who entered this information.

Insert this memorandum in the plan behind the record of change page after change #11.

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# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

## ANNEX E – Glossary of Terms & Abbreviations

**Amateur Radio Emergency Service (ARES)** – corps of trained amateur radio operator volunteers organized to assist in public service and emergency communications

**Chemical Stockpile Emergency Preparedness Program (CSEPP)** – unique partnership between FEMA and the U.S. Army that assists communities surrounding the eight chemical stockpile sites by enhancing their abilities to respond to a chemical agent emergency.

**Community Emergency Response Teams (CERT)** – Community Emergency Response Teams (CERT) are a groups trained in basic disaster response skills. Such as fire safety, light search and rescue, team organization, and disaster medical operations.

**Emergency Medical Service (EMS)** – a service providing out-of-hospital acute care and transport to definitive care facility, to patients with illnesses and injuries.

**Emergency Operation Center (EOC)** – a facility used in an emergency to control and coordinate operations and coordination of resources.

**Emergency Operations Plan (EOP)** – defines the scope of activities required for a community to respond to a disaster or emergency

**Emergency Support Functions (ESF)** – provide the structure for coordinating interagency support for a response to an incident by grouping the functions most frequently used during disasters and emergencies.

**Environmental Protection Agency (EPA)** – agency of the federal government of the United States charged with protecting human health and with safeguarding the natural environment: air, water, and land.

**Federal Emergency Management Agency (FEMA)** – agency of the United States Department of Homeland Security that coordinates the response to a disaster which has occurred in the United States that has overwhelmed the resources of local and state authorities.

**Federal Insurance Administration (FIA)** – Federal agency in charge of administering the National Flood Insurance Program

**Geographic Information System (GIS)** - any system for capturing, storing, analyzing, managing and presenting data and associated attributes which are spatially referenced to Earth.

**Homeland Security Exercise and Evaluation Program (HSEEP)** – capabilities and performance-based exercise program that provides a standardized methodology and terminology for exercise design, development, conduct, evaluation, and improvement planning.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

**Hazard U.S. Multi-Hazard Model (HAZUS-MH)** – GIS-based natural hazard loss estimation software package developed and freely distributed by FEMA.

**Tab Q-7 Plans** – plans which give guidance for response to a hazardous material release from a facility which manufactures, uses, or stores a substance defined as extremely hazardous substance.

**Incident Command System (ICS)** – procedures for the management of the overall incident(s) and the mechanism of controlling personnel, facilities, equipment, and communications.

**Incident Specific Plan (ISP)** – plan that provides focused guidance to a unique incident or event that requires additional description and specific strategies above and beyond that of common incidents or events.

**Kentucky Emergency Management (KyEM)** – a division of the Kentucky Department of Military Affairs. Its role is to provide a comprehensive Emergency Management System to protect life and property, public peace, health, safety and the environment through mitigation, preparedness, response, and recovery from disasters and emergencies which a local emergency response agency determines is beyond its capabilities.

**Kentucky Emergency Operations Plan (KyEOP)** – Kentucky's plan that addresses the scope of activities required for the state to respond to a disaster or emergency

**Local Emergency Planning Committees (LEPC)** – those persons appointed by the Emergency Response Commission in the implementation of Superfund Amendment Reauthorization Act Title III.

**National Incident Management System (NIMS)** – the nationwide framework used for both governmental and non-governmental agencies to respond to natural disasters and/or terrorist attacks at the local, state, and federal levels of government.

**National Planning Scenarios (NPS)** – consists of 15 scenarios used as the design basis for exercises in the National Exercise Program

**National Response Framework** – under the National Strategy for Homeland Security this framework provides guiding principles that enables all levels of domestic response partners to prepare for and provide a unified national response to disasters and emergencies.

**National Weather Service (NWS)** – is an agency of the National Oceanic and Atmospheric Administration (NOAA), tasked with providing weather, hydrologic, and climate forecasts and warnings for the United States, its territories, adjacent waters and ocean areas, for the protection of life and property and the enhancement of the national economy.

**Non-governmental Organizations (NGO)** – a legally constituted organization created by private persons or organizations with no participation or representation of any government.

# KENTUCKY EMERGENCY OPERATIONS PLAN HANDBOOK

**Occupational Safety and Health Administration (OSHA)** – an agency of the United States Department of Labor with the mission to prevent work-related injuries, illnesses, and deaths by issuing and enforcing standards for workplace safety and health.

**Radio Amateur Civil Emergency Service (RACES)** – standby radio service provided for in Part 97.407 of the Federal Communications Commission (FCC) rules and regulations governing amateur radio in the United States

**Resource Typing List** – list developed by the NIMS Integration Center that classifies resource types by capabilities of commonly used resources during a response

**Support Plan** – a plan that describes how departments and agencies; coordinate and execute the common functional processes and administrative requirements necessary to ensure efficient and effective incident management.

**Target Capabilities List (TCL)** – a federal document that outlines a full range of tasks required to prevent, protect against, respond to, and recover from common incidents.

**Standard Operating Procedures/Guidelines (SOP/G)** – a set of instructions covering those features of operations that lend themselves to a definite or standardized procedure

**Strategic National Stockpile Support Plan (SNS)** – a national repository of antibiotics, chemical antidotes, antitoxins, life-support medications, IV administration, airway maintenance supplies, and medical/surgical items. The SNS is designed to supplement and re-supply state and local public health agencies in the event of a national emergency within the U.S. or its territories.

**United States Department of Transportation (DOT)** - a federal Cabinet department of the United States government with the mission is to ensure the fast, safe, efficient, accessible and convenient transportation.

**United States Geological Survey (USGS)** – a scientific agency of the United States government that study the landscape of the United States, its natural resources, and the natural hazards that threaten it.

**Universal Task List (UTL)** – a federal document that defines what tasks need to be performed by Federal, State, local, and tribal jurisdictions and the private sector to prevent, protect against, respond to, and recover from events defined in the National Planning Scenarios.

**Volunteer Organizations Active in Disaster (VOAD)** – volunteer groups that respond to disasters and emergency in support, mitigation, or relief rolls.

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